

# **MSRB Compliance Seminars on 529 College Savings Plans**

**Monday, May 12, 2008**

**Chicago City Center Hotel & Sports Club**  
300 East Ohio Street  
Chicago, IL 60611  
312-787-6100

**Friday, May 16, 2008**

**Renaissance Washington DC Hotel**  
999 Ninth Street NW  
Washington, DC 2001  
202-898-9000

## **◆ PRELIMINARY AGENDA ◆**

(approx. 9:30 a.m. — 3:30 p.m. — lunch will be served)

### **◆ Customer Protection Obligations**

- Suitability of Recommendations (G-19)
- Advertising (G-21)
- Disclosure of Material Facts Concerning a Transaction (G-17)
- Delivery and Filing of Disclosure Documents
  - Delivery of Disclosures in Connection with New Issues (G-32)
  - Delivery of Official Statements (G-36)
  - Proposed Electronic Municipal Market Access System
- Prices and Commissions (G-30)
- Gifts, gratuities and Non-Cash Compensation (G-20)
- Political Contributions (G-37)
- Solicitation of Municipal Securities Business (G-38)

### **◆ Municipal Fund Security Supervisory System**

- Implementation of Amendments to Supervisory System (G-27)
- Standards of Professional Qualification (G-2)
- Classification of Principals, Testing & Continuing Education Requirements (G-3)

### **◆ Emerging Issues**

- Panel of industry insiders discusses emerging issues in the 529 Savings Plan market



**SPACE IS LIMITED AND PRE-REGISTRATION IS REQUIRED.  
THE REGISTRATION FEE IS \$100 PER EVENT.**

## **Municipal Securities Rulemaking Board**

1900 Duke Street, Suite 600, Alexandria, VA 22314

[www.msrb.org](http://www.msrb.org) ◆ 529 Plan Information: [www.msrb.org/msrb1/mfs](http://www.msrb.org/msrb1/mfs)